

**PROCUREMENT AND CONTRACT GUIDELINES OF THE HOUSING TRUST
FUND CORPORATION FOR CONTRACTS**

**ESTABLISHING STANDARDS
FOR THE USE, AWARD, MONITORING AND REPORTING
OF PROCUREMENT CONTRACTS**

*(Adopted on December 12, 2013, and amended on July 9, 2014, January 26, 2023,
and March 9, 2023)*

ARTICLE I

1. STATEMENT OF PURPOSE AND APPLICABILITY

- a. Statement of Purpose. These Guidelines are adopted pursuant to the provisions of the Act and §2879 of the Public Authorities Law, as guidelines of the Housing Trust Fund Corporation, hereinafter referred to as the “Corporation,” and such guidelines are independent of, but intended to be in alignment to the extent possible with, the guidelines of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (collectively hereinafter referred to as "Agencies") and are to be reviewed and approved by the Corporation’s Members at least annually.
- b. Applicability. These Guidelines apply to the Procurement by the Corporation of goods or services in the actual or estimated amount of \$5,000 or more, including those goods or services procured by the Corporation’s Office of Resilient Homes and Communities (formerly known as the “Governors’ Office of Storm Recovery” or “GOSR”) Amendments to existing contracts procured and executed under GOSR’s policies will adhere to these Guidelines. Procurements by the Corporation for federal funded goods or services shall be subject to these Guidelines.¹ In the event there is inconsistency between these Guidelines and any applicable federal requirements, the federal procurement requirements shall take precedent.
- c. Title. Outside of this document, these Guidelines may be referred to as the "Procurement and Contract Guidelines" and herein may be referred to as “Guidelines.”

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¹ See 2 CFR 200 Subpart D

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ARTICLE II

2. DEFINITION OF TERMS

- a. Definitions. The following terms shall, for purposes of these Guidelines, have the following meanings unless the context shall clearly indicate some other meaning:
- i. "Act" shall mean Section 45-a of the New York Private Housing Finance Law.
 - ii. "Affiliated Agencies" or "Affiliated Agency" shall mean, either individually or collectively, the affiliated agencies, each being the Housing Trust Fund Corporation, New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency, and Tobacco Settlement Financing Corporation.
 - iii. "Affiliate Contract" shall mean any Procurement Contract entered into by an Affiliate Agency.
 - iv. "Agency Contract" shall mean any Procurement Contract entered into by a State Agency.
 - v. "Authority Contract" shall mean any Procurement Contract entered into by a State Authority.
 - vi. "Annual Procurement Report" shall mean the annual report required by Article XII hereof.
 - vii. "Article 15-A of the Executive Law" or "Article 15-A" shall mean, the statute that governs the participation by Minority Group Members and women with respect to Corporation Contracts.
 - viii. "By-Laws" shall mean the By-Laws adopted by the Members of the Corporation.
 - ix. "Chief Executive Officer" or "CEO" shall mean the Officer having such title according to the Corporation's By-Laws.
 - x. "Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, any oral, written, or electronic communication from a Contractor or Vendor, or their representatives, with the Corporation, under circumstances where a reasonable person would infer that the communication was intended to

influence the Corporation's conduct or decision regarding a Corporation Governmental Procurement.

- x. "Contract" shall mean a written agreement whereby the Corporation undertakes Procurement, and shall include, but not be limited to, accepted Purchase Orders and Procurement Contracts. Contracts in excess of \$25,000 for goods and/or services and Contracts in excess of \$100,000 for the acquisition, construction, demolition, replacement, major repair, or renovation of real property and improvements thereon are subject to the Corporation's MWBE Directives. Additionally, pursuant to Article 15-A, solely for the purpose of providing the opportunity for meaningful participation of certified MWBEs in the performance of Corporation Contracts, Corporation Contracts shall include leases of real property by the Corporation to a Lessee where: (a) the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee; and (b) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon shall exceed the sum of \$100,000.
- xi. "Contractor" shall mean a supplier of goods and/or services to the Corporation pursuant to a Contract.
- xii. "Corporation" shall mean the Housing Trust Fund Corporation.
- xiii. "Corporation Staff" or "Staff" shall mean Employees and Officers of the Corporation or any governmental agency which has assigned employees to perform services to the Corporation.
- xiv. "Counsel" shall mean the chief legal officer as so defined in the By-Laws of the Corporation or their designee.
- xv. "Critical Contract" shall mean a Contract which must be awarded within a set time period because delay of the award would have a serious adverse effect on the Corporation that outweighs the benefits of advertisement in the "New York State Contract Reporter," as determined by the President of the Office responsible for the Procurement. All Emergency Selection Contracts shall be Critical Contracts. Emergency Foreign Business Enterprise Contracts are not Critical Contracts unless the Corporation independently determines those Contracts to be Critical Contracts.
- xvi. "Designated Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a Contact made between an Offeror and the Corporation's Designated Contact Officer(s), as set forth in Article VII of these Guidelines.

- xviii. "Designated Contact Officer(s)" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the person(s) the Corporation appoints to such position, in accordance with the provisions of the Lobbying Law, who may be the recipient of Designated Contacts, as set forth in Articles VII and XI of these Guidelines. The Designated Contact Officer shall be the person so designated in each solicitation.
- xix. "Designated MWBE Officer(s)" shall mean the senior staff the Corporation appoints to such position to oversee the Corporation's MWBE Program, as set forth in Articles VI and XI of these Guidelines.
- xx. "Determination of Responsibility" shall mean, in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a final determination required to be made by the Corporation of the proposed Contractor or Vendor to whom the Contract is to be awarded in accordance with Section 2879 of the Public Authorities Law. For Determinations of Responsibility hereunder, the Lobbying Law requires that proposed Contractors and Vendors disclose findings of non-responsibility against them within the previous four years by any other governmental agency.
- xxi. "Discriminatory Jurisdiction" shall mean any other county, nation, province, state, or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the Procurement of goods or services by the same, or a non-governmental entity influenced by the same.
- xxii. "Disparity Study of 2010" or "Disparity Study" shall refer to the disparity study commissioned by the Empire State Development Corporation ("ESDC"), pursuant to Article 15-A, and published on April 29, 2010.
- xxiii. "Emergency Foreign Business Enterprise Contract" shall mean any Contract awarded on an emergency or critical basis or where the New York State Commissioner of the Department of Economic Development (hereinafter referred to as the "DED Commissioner") waives provisions otherwise applying to Contracts with Foreign Business Enterprises which are equal to or greater than \$1,000,000, pursuant to Article VIII of these Guidelines.
- xxiv. "Emergency Selection Contract" shall mean any Contract exempt from competitive selection due to the Corporation's determination of an emergency justifying such exemption.

- xxv. "Employee" shall mean an employee of the Corporation, whether full or part time.
- xxvi. "Ethics Officer" shall mean the person the Corporation appoints to such position for purposes of administering matters in connection with the State Ethics laws, or any other State law which requires the existence of such an officer to review, monitor and impose sanctions related to Procurement matters including, but not limited to, Lobbying Law Directives.
- xxvii. "Foreign Business Enterprise" shall mean a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale, lease or other form of exchange, goods sought by the Corporation, and which are substantially produced outside the State, or services sought by the Corporation, and which are substantially performed outside the State.
- xxviii. "Governmental Procurement" shall mean the (a) public announcement, public notice, or public communication to any potential Vendor of a determination of a need for a Procurement, which shall include, but not be limited to, the public notification of the specifications, bid documents, RFPs, or other evaluation criteria for a Procurement Contract, (b) solicitation for a Procurement Contract, (c) evaluation of a Procurement Contract, (d) award, approval, denial or disapproval of a Procurement Contract, or (e) approval or denial of an assignment, amendment, renewal or extension of a Procurement Contract, or any other material change in the Procurement Contract resulting in a financial benefit to the Offeror.
- xxix. "Guidelines" shall mean these Guidelines, as they may be amended from time to time.
- xxx. "Impermissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, any Contact that is not a Designated Contact.
- xxxi. "Invitation for Bid" process or "IFB" shall mean the solicitation, by way of a statement of qualification, proposal and/or, as appropriate, price bid from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if possible, for Procurements not expected to exceed \$50,000. Procurements anticipated to exceed \$25,000 or more must include MWBE participation goals.
- xxxii. "Lessee" shall have the same meaning defined in Article 15-A.
- xxxiii. "Lobbying Law Directives" shall mean, in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the requirements of the provisions of the Lobbying Law, and as set forth in Article VII of these Guidelines.

- xxxiv. "Lobbying Law" shall mean the provisions of the Legislative Law and the State Finance Law enacted on August 23, 2005, Chapter 1 of the laws of 2005 and amended on March 20, 2010, Chapter 4 of the laws of 2010.
- xxxv. "Member(s)" shall mean the Members of the Housing Trust Fund Corporation as defined in the By-Laws of the Corporation, unless the context shall clearly indicate some other meaning, e.g., "Minority Group Members".
- xxxvi. "Minority Owned Business Enterprise" or "MBE" shall mean any business enterprise, including a sole proprietorship, partnership, or corporation, that is:
- 1) at least 51% owned by one or more Minority Group Members, or in the case of a publicly-owned business, at least 51% of the common stock or other voting interests of which is owned by one or more Minority Group Members;
 - 2) an enterprise in which the minority ownership is real, substantial, and continuing;
 - 3) an enterprise in which the minority ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;
 - 4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field; an enterprise owned by an individual or individuals, whose ownership, control, and operation are relied upon for certification, with a Personal Net Worth that does not exceed \$3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
 - 5) an enterprise that is a Small Business.
- xxxvii. "Minority and/or Women-Owned Business Enterprise" or "MWBE" shall mean any business enterprise, including a sole proprietorship, partnership, or corporation, that meets the qualifications for an MBE, a WBE, or both an MBE and a WBE.
- xxxviii. "Minority Group Member" shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups:
- 1) Black persons having origins in any of the Black African racial groups not of Hispanic origin;

- 2) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race;
 - 3) Native American or Alaskan native persons having origins in any of the original peoples of North America; or
 - 4) Asian and Pacific Islander persons having origins in any of the Far East countries, Southeast Asia, the Indian sub-continent, or the Pacific Islands.
- xxxix. "MWBE Director" shall mean the director of the division of minority and women's business development in the Department of Economic Development.
- xl. "MWBE Directives" shall mean the requirements of the Corporation's MWBE Program in accordance with the provisions in §2879 of the Public Authorities Law and Article 15-A, and as set forth in Article VI of these Guidelines.
- xli. "MWBE Program" shall mean the Corporation's Procurement procedures and policies for providing opportunity for meaningful participation of certified businesses in the performance of Corporation Contracts, as more fully described in Article VI of these Guidelines.
- xlii. "New York State Business Enterprise" or "NYSBE" shall mean a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale or lease or other form of exchange, goods which are sought by the Corporation, and which are substantially manufactured, produced, or assembled in the State, or services which are sought by the Corporation, and which are substantially performed within the State.
- xliii. "Offeror" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, an individual or entity, or any employee, agent or consultant or person acting on behalf of such individual or entity, that contacts the Corporation about a Corporation Governmental Procurement during the Restricted Period of such Corporation Governmental Procurement, whether or not the caller has a financial interest in the outcome of the Governmental Procurement.
- xliv. "Officer" shall mean those positions so defined in the By-Laws of the Corporation.

- xliv. "Permissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a Designated Contact.
- xlvi. "Permissible Subject Matter Communication" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the communications set forth as such in Article VII of these Guidelines.
- xlvii. "Personal Net Worth" shall have the same meaning as defined in Article 15-A.
- xlviii. "Personal Services" shall mean any services performed for fee, commission or other compensation by persons or organizations who are not providing such services as Officers, Employees or Staff of the Corporation, Affiliated Agency, any State Agency, or State Authority.
- xlix. "Preferred Source" shall mean the status afforded to certain contractors or vendors for purposes of Procurement under §162 of the State Finance Law.
 - I. "President" shall mean an Officer having such title according to the Corporation's By-Laws.
 - ii. "Procurement" shall mean the acquisition of goods, materials and services including, but not limited to, Personal Services, by the Corporation. The term goods shall include, but not be limited to, personal property, including furniture, fixtures, stationery, and supplies. Services shall include, but not be limited to, the performance of legal, accounting, management, consulting, investment banking, planning, training, statistical, research, public relations, architectural, engineering, surveying or other Personal Services of a consulting, professional or technical nature for a fee, commission or other compensation by a person or persons who are not providing such service as Officers, Employees or Staff of the Corporation, any Affiliated Agency, or any State Agency or State Authority.
 - iii. "Procurement and Contract Guidelines" shall mean the guidelines to Procurement of goods or services by the Corporation, originally adopted by the Corporation's Members, and revised from time to time, pursuant to the provisions of its Act and §2879 of the Public Authorities Law.

- liii. "Procurement Contract(s)" shall mean, (a) *(following the definition in §2879 of the Public Authorities Law)* any written agreement for Procurement in the actual or estimated amount of \$5,000 or more or (b) *(following the definition in the Lobbying Law for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000)* any Contract, including an amendment, extension, renewal, or change order to an existing Contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the Contract as it was finally awarded), for a Governmental Procurement.
- liv. "Procurement Contract Officer" shall mean the person appointed to such position, as set forth in Article XI of these Guidelines.
- lv. "Procurement Record" shall mean documentation of the decisions made and the approach taken in the Procurement process together with other documentation with respect to Contracts and Contractors/Vendors, as set forth in these Guidelines.
- lvi. "Purchase Order(s)" shall mean written authorization to a Vendor or Contractor to deliver specified goods or services at a stipulated price.
- lvii. "Request for Proposal" or "RFP" shall mean the solicitation, by way of a detailed description of services and/or related work required by the Corporation, of a comprehensive response from qualified potential Contractors or Vendors, indicating the manner in which each would perform the tasks involved and the compensation requested, which response would be the basis for a contractual agreement.
- lviii. "Request for Qualification" or "RFQ" shall mean a request for a statement of qualifications, which shall contain detailed information, so as to enable potential contractors to determine the desirability of participating in the selection process and to develop a competitive statement. An RFQ may request other information in addition to qualifications.
- lix. "Restricted Period" shall mean, for purposes of applying the Lobbying Law in relation to any Corporation Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the period of time commencing with the earliest determination of a Procurement need by the Corporation, including, but not limited to, any oral or written communication, notice, advertisement or solicitation of an RFP, invitation for bids, or solicitation of proposals, or any other method for soliciting a response from contractors or vendors intending to result in a Procurement Contract with the Corporation and ending with the Corporation's approval of the final Contract award.

- ix. "Section 3 business" shall mean a business that can provide evidence that they meet one of the following criteria: 1) 51 % or more owned by Section 3 residents; or 2) at least 30% of its full time employees include persons that are currently Section 3 residents, or were Section 3 residents within three years of the date of first hire; or 3) provides evidence, as required, of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to business concerns that meet one of the preceding two qualifications.²
- lxii. "Service-disabled veteran-owned business enterprise" ("SDVOB") shall mean a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is:
- (1) at least fifty-one percent owned by one or more service-disabled veterans;
 - (2) an enterprise in which such service-disabled veteran ownership is real, substantial, and continuing;
 - (3) an enterprise in which such service-disabled veteran ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise;
 - (4) an enterprise authorized to do business in this state and is independently-owned and operated;
 - (5) an enterprise that is a small business which has a significant business presence in the state, not dominant in its field and employs, based on its industry, a certain number of persons as determined by the director, but not to exceed three hundred, taking into consideration factors which include, but are not limited to, federal small business administration standards pursuant to 13 CFR part 121 and any amendments thereto; and
 - (6) certified by the State's Office of General Services.
- lxiii. "Single Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Corporation, approved in writing by the President of the Office responsible for the Procurement, that one firm is uniquely qualified or has a unique advantage with respect to the provision of a particular service or good, such that competitive procedures are rendered futile. Such determination shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.

² Section 3 requirements are set forth at 24 C.F.R. Part 75. See Also: HCR Section 3 Policy Manual <https://hcr.ny.gov/system/files/documents/2021/11/hcr-section-3-compliance-manual-20211201.pdf>
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- Ixiii. "Single Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Corporation, approved in writing by the President of the Office responsible for the Procurement, that one firm is uniquely qualified or has a unique advantage with respect to the provision of a particular service or good, such that competitive procedures are rendered futile. Such determination shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.
- Ixiv. "Small Business" shall have the same meaning defined in Article 15-A
- Ixv. "Sole Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Corporation, approved in writing by the President of the Office responsible for the Procurement, that there is only one source for a particular service or good, such that competitive procedures are rendered futile. Such determination shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.
- Ixvi. "State" shall mean the State of New York.
- Ixvii. "State Agency" shall mean any state department, state university of New York, city university of New York, board, bureau, division, commission, committee, council, office, or other governmental entity performing a governmental or proprietary function for the state, or any combination thereof as provided in subdivision two of section nine hundred fifty-one of the executive law, except any public authority or public benefit corporation, the judiciary, or the state legislature.
- Ixviii. "State Authority" shall mean a public authority or public benefit corporation created by or existing under the Public Authorities Law or any other law of the State of New York, with one or more of its members appointed by the Governor or who serve as members by virtue of holding a civil office of the state, other than an interstate or international authority or public benefit corporation, including subsidiaries of such public authority or public benefit corporation.
- Ixix. "Vendor" shall mean a supplier of goods or services to the Corporation.
- Ixx. "Women-Owned Business Enterprise ("WBE")" shall mean a business enterprise, including a sole proprietorship, partnership, or corporation that is:
- 1) at least 51% owned by one or more United States citizens or permanent resident aliens who are women or, in the case of a publicly-owned business, at least 51% percent of the common stock or other voting

interests of which is owned by United States citizens or permanent resident aliens who are women;

- 2) an enterprise in which the ownership interest of women is real, substantial, and continuing;
- 3) an enterprise in which the women ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;
- 4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field;
- 5) an enterprise owned by an individual or individuals, whose ownership, control, and operation are relied upon for certification, with a Personal Net Worth that does not exceed \$3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
- 6) an enterprise that is a Small Business.

- b. Construction of Language. Any other capitalized terms used herein shall have the meaning given by the By-Laws. Except where the context otherwise requires, words importing the singular number shall include the plural number and vice versa.

ARTICLE III

3. USE OF PROCUREMENT CONTRACTORS AND VENDORS

- a. Threshold Criteria for Use of Procurement Contractors for Personal Services. The general responsibilities of the Corporation are performed by its Employees, Officers, and Staff. Accordingly, it is the policy of the Corporation that before Personal Services are used, it first be considered whether it would be more appropriate for its Employees, Officers, or Staff to provide such services. Personal Services Contractors may be used when it has been determined:
 - (1) that such service is necessary or convenient to the performance of the Corporation's responsibilities; and
 - (2) (x) that such service is not available from Employees, Officers, or Staff; or
(y) that the performance of such service requires it be undertaken by someone independent of the Corporation; or
(z) that use of Employees, Officers or Staff of the Corporation for such service would not be efficient or cost effective.

Such determination shall be made by an Officer except that, in the case of Personal Services set forth below in this Article, such determination may be made by Officers as they may deem administratively appropriate. Non-Personal Services Contracts shall be entered into when the Corporation requires goods, materials, and non-Personal Services to function effectively and efficiently.

- b. Areas Requiring Use of Procurement Contracts for Personal Services. Personal Services Contracts have typically been and are anticipated to be executed in the following areas, pursuant to a determination of appropriateness in accordance with the requirements of subparagraph a. of this Article:

Types of Services, Responsibilities and Description of Services to be Provided.

- i. Appraisal. Provide appraisals, analyses, and reports with respect to properties which are or may be the subject of Corporation loans or loans insured by the Corporation.
- ii. Architectural and Engineering. Provide professional architectural and/or engineering services relative to the construction of properties which are or may be the subject of Corporation loans, or loans insured by the Corporation.
- iii. Audit and Accounting. Provide audit services pertaining to the year-end preparation of financial statements for the Corporation in conformance with generally accepted accounting principles. Perform special audits as requested.
- iv. Custody & Safekeeping Services. Provide custody and safekeeping services to secure Corporation investments and receive and evaluate underlying collateral for secured Corporation investments.
- v. Equipment Maintenance. Provide maintenance for the routine service or repair of office and data processing equipment.
- vi. Information Technology Consulting. Provide analyses and recommendations on the Corporation's data processing structure and operations.
- vii. Information Technology Services. Provide report generating and printing services, computer systems hardware, programming, and related services to the Corporation.
- viii. Investment Banking. Provide: (a) financial advisory services and (b) recommendations and analyses with respect to Corporation investments.
- ix. Legal. Provide legal services, opinions and analyses related to financings, real estate matters, corporate matters, litigation matters and labor matters.

- x. Management Consulting. Provide analyses and recommendations concerning the Corporation's organizational structure and the management of its operations.
- xi. Minority and Women Business Enterprise Consultants. Provide technical assistance in the Corporation's effort to facilitate MWBE participation in Corporation programs.
- xii. Printing. Provide: (a) financial printing services based upon specifications and details developed by the Corporation; (b) technical printing services relative to the reproduction of loan and insurance documents; (c) graphic, layout, and printing services in connection with production of Corporation report(s); and (d) other printing and offset services.
- xiii. Training. Provide supervisory and other skills training to Corporation Officers, Employees and Staff.
- xiv. Trustee Banking Services. Provide banking services to monitor the timely receipt of payments, retirement of debt, collateral evaluations, and other services as required by the various bond resolutions.
- xv. Value Engineering. The Corporation encourages the use of value engineering clauses in Contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions. Value engineering is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost.
- xvi. Others. The examples of Personal Services listed above in clauses (i) through (xiv) reflect anticipated Personal Services and are not meant to be exhaustive; other services, in other areas, may be utilized subject to these Guidelines.

These Personal Services are not required to be provided as Personal Services Contracts, and may sometimes be performed by Corporation Officers, Employees and Staff.

ARTICLE IV

4. SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

- a. Preferred Selection Criteria and Approach. It is the preference of the Corporation that Vendors and Contractors shall be selected from as broad a spectrum of providers as is practicable, and that Contracts be awarded and purchases be made consistent with the quality of services, or goods and materials required, at fair and reasonable prices. In addition, it is the preference of the Corporation to encourage the participation and utilization of MWBEs in accordance with the MWBE

Directives, as set forth in Article VI of these Guidelines, as well as SDVOBs for contracts exceeding \$25,000 in amount pursuant to New York State Executive Law 17-B and Section 3 requirements, as applicable, and to encourage the participation of New York State Business Enterprises. Contracts shall be regulated in accordance with MWBE Directives and Lobbying Law Directives, and as set forth in Articles VI and VII, respectively, of these Guidelines.

- b. Selection on a Competitive Basis. It is the preference of the Corporation that Procurement, unless otherwise prescribed, be by competitive process, and that the process be as competitive as is possible. It is the policy of the Corporation that the selection of Procurement Contractors and Vendors be exempt from the competitive process only under certain exceptional circumstances as specified herein. As appropriate, the following competitive processes may be used in order to select Contractors and Vendors:
 - i. Competitive Lowest Price Bid for Goods or Materials. Solicitation of at least three price bids, one of which shall be from a MWBE, if feasible, for specified Procurement, other than Personal Services (goods and materials), to be awarded to qualifying Contractors or Vendors primarily on the basis of the lowest price. Competitive bids are to be solicited when the goods and materials required are of a standardized nature that may reasonably be made the subject of specifications to which bidders respond with required qualification data and price offers.
 - ii. Invitation for Bid (“IFB”) process for Contracts Not Expected to Exceed \$50,000. If the President of the Office responsible for the Procurement determines it is appropriate, the Corporation may commence a Procurement process by soliciting statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if feasible, for Procurements not expected to exceed \$50,000. Procurements valued at \$25,000 or more must include MWBE participation goals. Award of a Contract within this method is made on the basis of an evaluation of the characteristics, quality, and cost of such statements of qualifications and proposals.
 - iii. RFP (without negotiation). Solicitation of specific proposals which indicate an understanding of identified financial, organizational, logistical, and technical requirements and/or problems, and which detail elements of performance, including techniques and procedures as well as prices. Award of a Contract within this method is made on the basis of a formal evaluation of the characteristics, quality, and cost of such proposals.
 - iv. RFP with Competitive Negotiations. Solicitation of qualifying potential Contractors or Vendors who have submitted materials pursuant to: (a) an RFP to further negotiate their proposals; (b) an RFP which stated that the Corporation might further negotiate proposals; or (c) a determination by the Corporation, subsequent to issuing an RFP, that further negotiation is

appropriate or that the RFP should be revised to permit further negotiations. Further negotiation may include, but shall not be limited to, prices for Contract award on the basis of a formal evaluation of the characteristics, quality, and cost of such proposals.

- v. Pre-qualified Panel. The Corporation may select Contractors for any Procurement activity from a qualified panel of potential Vendors and/or Contractors, selected on the basis of an RFP or RFQ. Such a panel must have been qualified by the Corporation, or by an Affiliate, State Agency, or State Authority. The purpose of using a pre-qualified panel is to allow aspects of the competitive process to be addressed early in a phased selection process. This is so that Vendors and Contractors on the panel can be subsequently engaged on an accelerated or more efficient basis. In accordance therewith, panels shall be administered so that the Contract award is based upon a formal evaluation of qualifications and/or the subsequent negotiation of fair and reasonable compensation for specific services actually required. At such time as a panel is utilized, the Corporation shall document for the Procurement Record with respect to that panel, which aspects of the competitive process (a) are being addressed prior to the panel's utilization and (b) shall be fulfilled subsequent to the establishment of the panel. The award of assignments to respective Vendors on a panel need not be based purely on competitive selection processes, to the extent that assignments based on distribution of workload, distribution of risk, and/or a policy of rotation intended to benefit the Corporation are reasonable. Panels shall be identified to the Corporation's Procurement Contract Officer, reported in the Annual Procurement Contract Report, and reviewed and recertified annually to the Corporation's Procurement Contract Officer by the Corporation Officer in charge of administering the panel.
- vi. State Contract. The Corporation can enter into Contracts with eligible Vendors, where the State has engaged in a competitive process to create eligible Vendors; and the Corporation can enter into a Contract with those Vendors for such services upon comparable terms, provided the Procurement Contract Officer determines this is appropriate.
- vii. GSA Contract (or contract of the U.S. General Services Administration or US GSA). The Corporation can enter into Contracts with eligible Vendors, where the US GSA has engaged in a competitive process to create eligible Vendors; and the Corporation can enter into a Contract with those Vendors for such services upon comparable terms, provided an Officer determines this is appropriate.

- viii. Affiliated Agency Contract or Affiliated Agency Competitive Selection Process. Whenever an Affiliated Agency has completed a competitive process to create a list of Vendors eligible for the provision of goods and/or services, the Corporation can enter into a Contract with those Vendors for such services, if for the same services and upon comparable terms. Whenever an Affiliated Agency has engaged in a competitive process, and that process has not yet created a list of eligible Vendors, and the Corporation can complete that process to create eligible Vendors, the Corporation may do so in order to enter into a Contract with those Vendors for such services for which Vendors are ultimately determined eligible to provide, provided the Procurement Contract Officer determines this is appropriate.
- c. Selection on a Non- Competitive Basis. The competitive processes established above in this Article shall not apply or are hereby waived in the following situations:
 - i. Preferred Source Providers. Every Corporation procurement shall be conducted in accordance with §162 of the State Finance Law, which, in certain instances, affords Preferred Source status to certain Contractors and Vendors to advance special social and economic goals and precludes the use of competitive selection procedures.
 - ii. Existing Centralized State Contracts. The Corporation may carry out a Procurement using existing centralized State Contracts pursuant to which the Corporation is eligible to procure goods and/or services, according to the State negotiated terms.
 - iii. Existing GSA Contracts. The Corporation may carry out a Procurement using existing centralized GSA Contracts pursuant to which the Corporation is eligible to procure goods and/or services, according to the State negotiated terms.
 - iv. Emergency. When an emergency, including but not limited to public exigency, requires that selection of a Contractor or Vendor cannot be delayed long enough for the use of a competitive procedure because immediate action is required, the President of the Office responsible for the Procurement may award a Contract, as that President deems appropriate, without competitive procedures or following less than the full complement of competitive procedures which would otherwise be required. Circumstances requiring such immediate action must be significant, such as those affecting property of the Corporation, life, health, or safety. Emergencies should only arise out of unforeseen occurrence. The circumstances under which such Contract was entered into shall be set forth and maintained in the Procurement Record. Such record should, among

other things, address whether such circumstances should have been foreseen. Consideration should always be given to whether a Contract entered into on an emergency basis can be supplanted by a subsequent Contract entered into through a competitive process. If the Emergency Contract exceeds \$100,000 in amount or one year in duration, the Contract must be presented at the next regularly scheduled Corporation Board Meeting for approval. The determination to issue a contract under this method shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.

- v. Sole Source Contract. Sole Source Contracts may be awarded without competitive procedures as a result of a determination by the Corporation, approved in writing by the President of the Office responsible for the Procurement. For purposes of determining whether a Contract is a Sole Source Contract, the Corporation shall identify if there is only one source for a particular service or good, such that competitive procedures are rendered futile. The determination to issue a contract under this method shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.

- vi. Single Source Contract. Single Source Contracts may be awarded without competitive procedures as a result of a determination by the Corporation, approved in writing by the President of the Office responsible for the Procurement. Competitive procedures may be considered futile for purposes of determining whether a Contract is a Single Source Contract, if, among other things, the submission of bids or proposals by other Contractors or Vendors would not afford them a meaningful likelihood of selection. Whenever the Corporation considers it appropriate, the Corporation may conclusively reach such a determination by relying upon the determination of the State or an Affiliated Agency that a Vendor is uniquely qualified, if the Corporation seeks to enter into a Contract or contract with those Vendors for such services upon comparable terms. The determination to issue a contract under this method shall become part of the Procurement Record and be filed with the Corporation's Counsel and Secretary.

- vii. Inconsistent Industry Selection Process with Competitive Price Assurance. Where practice in an industry does not normally involve competitive submission of proposals and where it is determined that it would be cost-effective to award such Contract or otherwise select from among possible Vendors in some other manner, provided steps are taken to assure that the cost is comparable to that generally charged for similar goods or services, and that the Procurement Record contains written evidence of these steps, a Contract may be awarded without competitive process.

- viii. Competitive Proposal Exception for Contracts Not Expected to Exceed \$5,000. In the case of Contracts not expected to exceed \$5,000, if it is determined that soliciting at least three Vendors is not appropriate, such Contract may be awarded without soliciting competitive proposals if a clear scope of goods or services is utilized and due consideration is given to the market value of such goods or services.
- ix. Option to Waive Competition for Certain Kinds of Contracts. Notwithstanding any other provision of law requiring competition, the competitive process may be waived to include Contracts for the purchase of goods or services from Small Businesses or certified MWBEs or certified SDVOBs, or goods or technology that are recycled or remanufactured, in amounts at or below \$500,000.

ARTICLE V

5. STANDARDS AND PRACTICES FOR COMPETITIVE SELECTION OF CONTRACTORS.

It is the policy of the Corporation to seek out the maximum practicable number of qualified Vendors interested in offering their goods or services to the Corporation and to establish certain minimum standards for their selection. The following standards shall apply:

- a. Advertisement Requirements for Competitive Source Selection Methods. The solicitation of bids, proposals, offers or submissions of qualification data from Vendors with respect to Contracts shall be made by the Corporation in a manner determined by the Procurement Contract Officer in consultation with the President of the Office responsible for the Procurement, to be the most cost effective for providing reasonable competition for the Corporation's Contracts and in compliance with federal requirements, as applicable. This may include advertisement in appropriate newspapers or trade journals, direct mailings to firms considered qualified and such other outreach mechanisms as are consistent with the policy of these Guidelines, including outreach efforts to MWBEs in accordance with the provisions of Article VI herein and the Corporation's MWBE Goal Plan ("MWBE Goal Plan"), and including providing information with respect thereto via the Corporation's website. In addition, in the case of Procurement Contracts in the actual or estimated amount of \$50,000 or more, or such other amount as may be amended in Article 4-C of the State's Economic Development Law, and in the establishment of pre-qualified panels, the Corporation shall advertise all such opportunities in the "New York State Contract Reporter" or "Reporter," the official weekly listing of bidding opportunities for the State published by the New York State Department of Economic Development, and any other publication as required by State law, unless the Contract is determined to be a Critical Contract. Already advertised Contract opportunities being re-bid or re-solicited within forty-five (45) business days after proposals were originally due, pursuant to publication in the

"Reporter," are not required to be published again. Contracts determined to be Single Source or Sole Contracts will not be advertised in the "Reporter," but are required to be published in the "Reporter" as a "notification".

- b. Minimum of Three Prospective Vendors for Competitively Bid Procurement Contracts. For all Procurement Contracts required to be selected on a competitive basis, the Corporation shall solicit statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Vendors. In the case of Contracts not expected to exceed \$5,000, the Corporation shall solicit prices, statements of qualifications and proposals from at least three prospective Vendors unless the Corporation affirmatively determines it is not appropriate. The Corporation shall include at least one MWBE, if feasible, in all Procurement processes.
- c. Requirements for Corporation Bid Documents. Except for Procurement Contracts for which the Corporation would be expending funds received from another state, the Corporation shall include in all bid documents provided to potential bidders a statement that information concerning the availability of State subcontractors and suppliers is available from the State Department of Economic Development, which shall include the directory of certified MWBEs, and an affirmative statement that it is the policy of the Corporation to encourage the use of State subcontractors and suppliers, and to promote the participation of MWBEs, where possible, in the Procurement of goods and services. Additional requirements for Corporation Bid Documents relating to the Corporation policies to promote the participation of New York State Business Enterprises are more fully described in Article VIII.8.a. of these Guidelines.

The Corporation shall also require that solicitation documents set forth the expected degree of MWBE participation based, in part, on (1) the potential subcontract opportunities available in the prime Procurement Contract; and (2) the availability of MWBEs to respond competitively to the potential subcontract opportunities.

- i. Required Bid Notices to Professional and other Organizations serving MWBEs. In an effort to award Procurement Contracts to MWBEs in compliance with the Corporation's MWBE Procurement goals, as set forth in the Corporation's MWBE Goal Plan, the Corporation shall provide notice of Governmental Procurements, along with any other notice required by law, to professional and other organizations serving MWBEs that provide the types of services procured by the Corporation. Professional and other organizations can include, but is not limited to, social networking websites, magazines, and/or newspapers catering to a majority of MBE and/or WBE clientele. For the purposes of these Procurement efforts and for other Corporation Procurement efforts, the Corporation's Designated MWBE Officer shall establish procedures for maintaining list(s) of qualified MWBEs. In addition, the Corporation shall establish procedures for maintaining lists to include media outlets and other organizations serving

MWBEs. The Corporation will provide such list(s) to Contractors in the Procurement process, requiring that potential Contractors shall consult and contact appropriate MWBEs to solicit their bids, in accordance with Article VI of these Guidelines.

- ii. Lobbying Law Directives. All Corporation solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Corporation’s policies and prohibitions regarding Contacts under the Lobbying Law, pursuant to the Lobbying Law Directives as described in Article VII of these Guidelines and in the Corporation’s *Policy on Reporting and Maintaining Records on Lobbying Contacts* (herein after referred to as the Corporation’s “Lobbying Policy”). Promoted Contracts. All Corporation solicitations shall follow the directives for the participation of promoted Contracts, as is more fully described in Article VIII of these Guidelines.

- d. Criteria for Selection. Procurement Contracts shall be entered into based on an evaluation of all proposals or bids received, considering all relevant factors, including, but not limited to terms, costs, goods, or services offered, experience and capabilities, financial security, reputation in the field, staff availability, personnel expected to be involved and possible conflicts of interest. Where the Procurement Contract Officer determines that there is a suitably neutral and reliable publisher or publicly available industry ratings or evaluations of products or firm qualifications, such ratings or evaluations may be allowed to substitute, in whole or in part, as determined to be appropriate, for required submission of qualifications where it is determined that requiring independent submission of such from Vendors would be duplicative. The criterion for selection are not intended to supersede the fact that the Corporation has certain promoted Contracts and certain prohibited Contracts and Contracts subject to limitations, as set forth in Article VIII of these Guidelines.

- e. Compliance with Additional Procedures for Requests for Proposals and Requests for Qualifications. The Corporation shall also comply with any additional procedures issued by it, from time to time, with respect to the conduct of Requests For Proposals and Requests For Qualifications.

ARTICLE VI

6. MWBE PROGRAM ESTABLISHING PROCEDURES FOR MWBE PARTICIPATION AND UTILIZATION IN CORPORATION PROCUREMENTS

The requirements of the Corporation’s MWBE Program, in accordance with the provisions of §2879 of the Public Authorities Law, Article 15-A, and the directives of the Governor, and as set forth in this Article, shall be referred to as the Corporation’s MWBE Directives. The Corporation shall work to increase MWBE participation and utilization through certain Procurement procedures, as described in the Corporation’s Annual MWBE Goal Plan and

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these Guidelines, and incorporated in the Corporation's MWBE Program. These procedures shall include (i) the appointment of a Designated MWBE Officer(s) to oversee the Corporation's MWBE Program, as described more fully in Article XI of these Guidelines, (ii) the establishment of appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Corporation and (iii) the utilization of MWBEs as subcontractors and suppliers by Contractors having Procurement Contracts with the Corporation.

The Corporation has established numerical participation target goals identified in their MWBE Goal Plan based on the findings of the Disparity Study and directives from the Governor. For each new Contract, the Corporation shall gauge the appropriateness of the Procurement goals by considering the availability of Contractors to perform the Contract's anticipated scope of services, weighted by the extent those scope of services represent the total Contract price.

In the event the projected goals cannot be achieved, the Corporation will provide adequate documentation of a good faith effort to meet these goals in its submission of its Annual MWBE Goal Plan.

The Corporation's Designated MWBE Officer, for the purposes of reaching these goals, shall establish procedures for maintaining list(s) of qualified and certified MWBEs, that have expressed an interest in doing business with the Corporation, and ensuring that such lists are updated periodically, but no less than once annually, and include a firm profile that will, if possible, describe the firm's history, key personnel, and core work areas. The Corporation shall also consult the list(s) of certified MWBEs maintained by the Department of Economic Development, pursuant to Article 15-A.

The Corporation shall update these MWBE participation goals annually in an effort to (1) obtain the maximum feasible participation of MWBEs in Corporation Contracts, (2) evaluate each Contract to determine the appropriateness of the goal, and (3) examine Corporation goals to determine if their implementation will duplicate or conflict with any federal law. The Corporation shall waive the applicability of these goals to the extent of such duplication or conflict. These MWBE goals are subject to change by industry and region pursuant to findings contained within the Disparity Study of 2010, future Disparity Studies by the ESDC and Corporation findings evidencing relevant industry and region-specific availability of certified MWBEs.

- a. Requirements to Conduct Procurements to Ensure Maximum Participation and Utilization by MWBEs. To enable the Corporation to achieve the maximum feasible portion of the Corporation's goals established in its MWBE Goal Plan, that eliminates barriers to participation by MWBEs in Corporation Procurements, Corporation's MWBE Directives shall include:
 - i. Measures and Procedures. The Corporation's Designated MWBE Officer shall establish measures and procedures to: (a) ensure that certified MWBEs shall be given the opportunity for maximum feasible participation in the performance of Corporation Contracts; and (b) to assist in the Corporation's

identification of those Corporation Contracts for which certified MWBEs may best bid to actively and affirmatively promote and assist their participation in the performance of Corporation Contracts so as to facilitate the Corporation's achievement of the maximum feasible portion of the goals for Corporation Contracts to such businesses. The Corporation's measures and procedures shall include the following MWBE Directives:

- (1) For competitive Procurements requiring a minimum of three bids, quotes must be obtained from at least one MBE or WBE, if feasible. If not feasible, the reasons for not doing so shall be documented in writing and included in the Procurement record. Corporation staff issuing solicitations will comply with this requirement whenever MWBEs are available for goods or services being procured;
 - (2) Encouraging Contractors to consider partnering with MWBEs, if feasible and practicable; and
 - (3) For non-competitive Procurements, Corporation staff issuing the solicitation shall strongly consider using a certified MWBE, if feasible, and if the MWBE meets the needs of the Corporation.
- ii. Designation of the Division of Minority and Women-Owned Business Development ("Division of MWBEs"). The Corporation shall designate the Division of MWBEs to certify and decertify MWBEs for the Corporation.
 - iii. Expected Degree of MWBE Participation. The Corporation shall require that each Contract solicitation set forth the expected degree of MWBE participation, as set forth in Article VI of these Guidelines.
 - iv. Current List of MWBEs. The Corporation shall provide a current list of certified MWBEs to each prospective Contractor, as set forth in Article VI of these Guidelines.
 - v. Joint Ventures and MWBE Participation Goals. The MBE portion or the WBE portion of joint ventures shall count toward meeting the Corporation's MWBE participation goals. A firm owned by a Minority Group Member who is also a woman may be certified as a MBE, a WBE, or both, but may only be counted towards either a MBE goal or a WBE goal, in regard to any Contract or any goal, set by the Corporation, but such participation may not be counted towards both such goals. Such an enterprise's participation in a Contract may not be divided between the MBE goal and the WBE goal.

- vi. Waiver of Obligations of Contractor relating to MWBE Participation. The Corporation may waive obligations of the Contractor relating to MWBE participation after a showing of good faith effort to comply with the MWBE participation requirements, pursuant to Chapter 174 and Chapter 175 of the laws of 2010 that amend §2879 of the Public Authorities Law and Article 15-A, §313, subdivision six, respectively, both enacted on July 15, 2010.

- vii. Verification of MWBE Participation. The Corporation shall verify that MWBEs listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted, including verification that the procured primary Contractors are truly providing for the participation of MWBEs as described in the Procurement Contract. Participation of MWBEs shall be verified by (i) electronically monitoring and tracking the utilization, prompt payment and unauthorized substitutions of MWBE subcontractors and (ii) the provision of the following data, by the Contractor to the Corporation, for each MWBE subcontract:
 - (1) name(s) of the MWBE subcontractor;
 - (2) total dollar amount of the MWBE's participation;
 - (3) scope of work of the MWBE subcontractor; and
 - (4) dates of participation.

- viii. In the implementation of this section of this Article, the Corporation shall:
 - (1) consider, where practicable, the severability of construction projects and other bundled Contracts; however, unbundling must be conducted within the constraints of the Corporation's need to ensure efficiency and limit costs, and may not cause the bid price to increase;
 - (2) implement its MWBE Program to enable the Corporation to evaluate each Contract to determine the appropriateness of the goal, as set forth in this Article, which shall include:
 - (a) increasing MWBE outreach and communication efforts by use of the internet to facilitate access to information and build relationships between MWBEs and potential partners by:
 - (i) Requiring Corporation staff to include certified MWBEs in the solicitation lists for Procurements expected to exceed \$25,000;

- (b) consider the number and types of MWBEs located in the region in which the Corporation Contract is to be performed;
 - (c) consider the total dollar value of the Corporation Contract, the scope of work to be performed, and the project size and term;
 - (d) consider whether the Contractor has advertised in general circulation media, trade association publications, and minority-focus and women-focus media and, in such event,
 - (i) whether or not certified MWBEs that have been solicited by the Contractor exhibited interest in submitting proposals for a particular project by attending a pre-bid conference; and
 - (ii) whether certified MWBEs which have been solicited by the Contractor have responded in a timely fashion to the Contractor's solicitations for timely competitive bid quotations prior to the Corporation's bid date;
 - (e) consider whether there has been written notification to appropriate certified MWBEs that appear in the directory of certified MWBEs, and
 - (f) consider whether the Contractor can reasonably structure the amount of work to be performed under subcontracts in order to increase the likelihood of participation by certified MWBEs.
3. consider compliance with the requirements of any federal law concerning opportunities for MWBEs which effectuates the purpose of this Article; and
 4. consult the most recent disparity study, pursuant to Article 15-A.

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ARTICLE VII

7. REQUIRED DESIGNATIONS AND DISCLOSURES UNDER LOBBYING LAW DIRECTIVES IN THE SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

Contacts shall be regulated in accordance with Lobbying Law Directives as follows:

For any Governmental Procurement or Contract subject to the Lobbying Law, the Corporation shall notify every potential Contractor or Vendor that the Corporation has a Designated Contact Officer(s) who is the only Corporation representative(s) permitted to receive Designated Contacts from the Contractors or Vendors, or their representatives, during the Restricted Period with respect to such Governmental Procurement. A Contractor or Vendor is restricted from making Contacts with the Corporation from the date of any public announcement, public notice, or public communication by the Corporation to any potential Vendor of a determination of a need for a Governmental Procurement through final award and approval of the Procurement Contract by the Corporation to anyone other than the Designated Contact Officer(s) with respect to the Governmental Procurement unless such communication is any one of the following Permissible Subject Matter Communications:

- (a) the submission of written proposals in response to a Request for Proposals, invitation for bids or any other method for soliciting a response from Offerors intending to result in a Procurement Contract;
- (b) the submission of written questions by a method set forth in a solicitation for receiving inquiries from Offerors intending to result in a Procurement Contract, when all written questions and responses are to be disseminated to all Offerors who have expressed an interest in the solicitation;
- (c) participation in a demonstration, conference, or other means for exchange of information in a setting open to all potential bidders provided for in a solicitation intending to result in a Procurement Contract;
- (d) complaints by an Offeror regarding the failure of the person or persons designated by the Corporation, pursuant to this section, to respond in a timely manner to authorized Offeror Contacts, made in writing to the office of general counsel of the Corporation, provided that any such written complaints shall become a part of the Procurement Record;
- (e) Offerors who have been tentatively awarded a Contract and are engaged in communications with the Corporation solely for the purpose of negotiating the terms of the Procurement Contract after being notified of tentative award;
- (f) communications between designated staff of the Corporation and an Offeror to request the review of a Procurement Contract award;

- (g) communications by Offerors in protests, appeals or other review proceedings (Including the apparent successful bidder and his or her representatives) before the Corporation conducting the Governmental Procurement seeking a final administrative determination, or in a subsequent judicial proceeding; or
- (h) communications between Offerors and governmental entities that solely address the determination of responsibility entity of an Offeror.

Unless the communication is any one of the above Permissible Subject Matter Communications, the Designated Contact is the only representative(s) of the Corporation permitted to receive Contacts from bidders, potential Contractors or Vendors, or their representatives, during the Restricted Period with respect to a Corporation Governmental Procurement.

All Corporation solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Corporation's policies and prohibitions regarding Contacts under the Lobbying Law. All potential Contractors or Vendors must complete and return to the Corporation with their proposal or bid response to a Corporation solicitation, the *Affirmation of Understanding of an Agreement*, and *Potential Contractor or Vendor Disclosure of Prior Non-Responsibility Determinations*, Lobbying Law Forms 1 and 2, respectively. Form 1 is a written affirmation of a Contractor's or Vendor's understanding of the Governmental Procurement lobbying procedures of the Corporation and Form 2 requires the potential Contractor or Vendor to certify that all information provided to the Corporation with respect to the Lobbying Law is complete, true and accurate. Prior to awarding a Procurement Contract to which these provisions apply, the Corporation shall make a final Determination of Responsibility. All solicitations for proposals by the Corporation shall require that potential Contractors or Vendors disclose to the Corporation any findings of non-responsibility against them within the previous four years by any other governmental agency and must contain certifications that the same are complete, true, and accurate.

For Contractors or Vendors who fail to comply with the Corporation's Lobbying Law Directives, refer to Article VIII of these Guidelines and the Corporation's Lobbying Policy.

ARTICLE VIII

8. PROMOTED AND PROHIBITED CONTRACTS & CONTRACTS SUBJECT TO OTHER LIMITATIONS

Notwithstanding the general practices of the Corporation with respect to selection of Contractors and Vendors and adherence to competitive practices, as set forth in in these Guidelines, the following shall apply or be given weight in order that certain Contracts, or the award thereof, may be promoted, prohibited or subject to certain limitations.

- a. Promoted Contracts. It is the policy of the Corporation to promote certain contracts as follows:

- i. Minority- and Women-Owned Business Enterprises, Service-Disabled Veteran- Owned Businesses, and Section 3 businesses, as applicable. It is the policy of the Corporation to promote and encourage the use of MWBEs as well as use of SDVOBs and Section 3 businesses, as applicable, and New York State subcontractors and suppliers in competition for Procurement Contracts. Furthermore, for Procurements anticipated to be in the amount of \$25,000 or less, if the performance of any Contract requires or permits the use of a subcontractor, it is the preference of the Corporation to encourage the participation of MWBEs, SDVOBs and Section 3 businesses, as applicable, as set forth in these Guidelines. The Corporation encourages bidders to include demonstrations that their selection promotes the use of MWBEs in bid responses, for example, through proposals for joint ventures with MWBEs SDVOBs and Section 3 businesses, where required. Procurements exceeding \$25,000 must include MWBE participation goals in solicitation documents.

In order to promote and assist participation by, and facilitate the awarding of a fair share of Contracts to, MWBEs SDVOBs and Section 3 businesses, as applicable, the Corporation has identified the following services as those areas or types of Contracts for which MWBEs and SDVOBs and Section 3 businesses, as applicable, may best bid: Archival Off-Site Services; Audit/Accounting Services; Appraisal Services; Architectural/Engineering Services; Equipment Maintenance Services; Information Technology Consulting/Services; Investment Banking Services; Legal Services; Management Consulting Services; Printing Services; and Temporary Employee Services.

- ii. New York State Business Enterprises and New York State Residents. It is the goal of the Corporation to promote the participation of New York State Business Enterprises and New York State residents in Procurement Contracts. Accordingly, the following procedure shall apply:

- (1) The Corporation shall collect and consult the specifications of NYSBEs in developing specifications for any Procurement Contract for the purchase of goods where possible, practicable, feasible and consistent with open bidding, except for Procurement Contracts for which the Corporation would be expending funds received from another state. The Corporation shall, where feasible, make use of the stock item specification forms prepared by the State Commissioner of General Services, and where necessary, consult with the State Commissioner of the Office of General Services, in developing such specifications and make such determinations;
- (2) The Corporation shall, with the cooperation of the Department of Economic Development and through cooperative efforts with

Contractors and Vendors, (i) notify NYSBEs of opportunities to participate as subcontractors and suppliers on Corporation Procurement Contracts in amounts estimated to be equal to or greater than \$1,000,000 and (ii) promulgate procedures which will assure compliance by Contractors and Vendors with such notification. Once awarded the Contract, such Contractors shall document their efforts to encourage the participation of NYSBEs as suppliers and subcontractors on Procurement Contracts equal to or greater than \$1,000,000, pursuant to §2879 of the Public Authorities Law;

(3) The Corporation shall, with the cooperation of the Community Services Division of the Department of Labor and through cooperative efforts with Contractors and Vendors, notify New York State residents of employment opportunities arising out of Procurement Contracts let by the Corporation in an amount estimated to be equal to or greater than \$1,000,000. Contractors shall, as supplementary materials to their bids, document their efforts to provide such notification.

(4) The Corporation shall include in all bid documents, (i) a statement notifying potential bidders located in foreign countries that the Corporation may assign or otherwise transfer offset credits created by the Procurement Contract to third parties located in New York State and (ii) a provision for the assignment or other form of transfer of offset credits created by such Procurement Contracts, directly or indirectly, to third parties located in the State. Such assignment or other form of transfer shall be in accordance with the written directions of the Commissioner of Economic Development. The Corporation shall cooperate with the Department of Economic Development in efforts to get foreign countries to recognize offset credits assigned or transferred to third parties located in New York State created by the Corporation's Procurement Contracts.

iii. Businesses with Anti-discriminatory Employment Practices. It is the Corporation's policy to have procedures in place that will ensure, to the extent of the Corporation's ability, that Contractors and Vendors comply with the federal Equal Employment Opportunity Act of 1972, as amended.

For any Contractor or Vendor with fifteen (15) or more employees responding to an RFP, RFQ, IFB or other type of invitation for bids, included with such response must be a statement disclosing whether the Contractor or Vendor is currently operating under or negotiating, or has at some time in the last five years operated under or negotiated, a conciliation agreement with the Equal Employment Opportunity Commission ("EEOC"); has been, at some time in the last five years, or is currently the

subject of a civil action brought against it by the EEOC; has been, at some time in the last five years, or is currently the subject of an action brought against it by the EEOC for permanent, temporary or preliminary relief; has operated, at some time in the last five years, or is currently operating under an order of a court to take affirmative action as a result of a civil action brought against it by EEOC.

The Corporation shall state in each Contract entered into with a Contractor or Vendor with fifteen (15) or more employees, that it is an unlawful employment practice for such Contractor or Vendor to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to the individual's compensation, terms, conditions, or privileges of employment, or to limit, segregate, or classify employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect an individual's status as an employee, because of such individual's race, color, religion, sex, or national origin, or because an individual opposed any practice made unlawful by Title VII of the Civil Rights Act of 1964, as amended, or because he or she made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under that Title; and that it shall be an unlawful employment practice to print or publish or cause to be printed or published any notice or advertisement relating to employment indicating any preference, limitation, specification, or discrimination on the basis of race, color, religion, sex, or national origin.

The Corporation shall state in each Contract entered into with a Contractor or Vendor with fifteen (15) or more employees, that such Contractor or Vendor shall (1) make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed, (2) preserve such records for such periods as the EEOC shall prescribe by regulation, and (3) make such reports therefrom as the EEOC shall prescribe by regulation or order.

The Corporation shall state in each Contract entered into with a Contractor or Vendor with fifteen (15) or more employees, that such Contractor or Vendor must post and keep posted in conspicuous places upon its premises where notices to employees and applicants for employment are customarily posted a notice prepared or approved by the EEOC setting forth excerpts from, or summaries of, pertinent provisions of Title VII of the Civil Rights Act of 1964, as amended, and information pertinent to the filing of a complaint.

The Corporation's goal is to award Contracts to those Contractors and Vendors who have evidenced compliance with the laws of the State prohibiting discrimination in employment. The Corporation recognizes that this goal may be achieved by awarding Procurement Contracts to those

Contractors or Vendors who have demonstrated that they do not discriminate with respect to employment.

For all Personal Services Contracts over \$25,000, and for all Contracts for goods and materials over \$100,000, bidders shall submit to the Corporation data regarding the race and gender of their partners, members, and employees by job category. Bidders whose data are not found acceptable to the Corporation shall be rejected.

- b. Prohibited Contracts and Contracts Permitted Subject to Specified Exceptions or Limitations. It is the policy of the Corporation that certain Contracts be prohibited or permitted only subject to certain exceptions or limitations as follows:
 - i. Special Criteria Rule for Evaluation of Architects, Engineers, and Surveyors. For purposes of this subparagraph, the term “Professional Firm” shall be defined as any individual or sole proprietorship, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture, engineering, or surveying. The Corporation shall not refuse to negotiate with a Professional Firm solely because the ratio of the “allowable indirect costs” to direct labor costs or the hourly rate in any labor category of the Professional Firm exceeds a limitation generally set by the Corporation in the determination of the reasonableness of the estimated cost of services to be rendered by the Professional Firm, but rather the Corporation should also consider the reasonableness of cost based on the total estimated cost of the service of the Professional Firm which should include, among other things, all the direct labor costs of the Professional Firm for such services plus all “allowable indirect costs,” other direct costs, and negotiated profit of the Professional Firm. For purposes of this subparagraph, “allowable indirect costs” of a Professional Firm are defined as those costs generally associated with overhead which cannot be specifically identified with a single project or Contract and are considered reasonable and allowable under specific Contract or allowability limits.
 - ii. Contracts with Businesses with Operations in Northern Ireland. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Corporation shall not enter into Procurement Contracts with Vendors who have operations in Northern Ireland unless the Corporation receives contractual assurance that the Contractor shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in §165 of the New York State Finance Law), and agrees to permit independent monitoring of its compliance with such principles.
 - iii. Contracts with Foreign Business Enterprise. The Corporation shall notify the New York State Commissioner of the Department of Economic Development (“DED Commissioner”) of the award of a Procurement

Contract for the purchase of goods from a Foreign Business Enterprise in an amount equal to or greater than \$1,000,000, simultaneously with notifying the successful bidder therefor. The Corporation shall not thereafter enter into a Procurement Contract for said goods until at least fifteen (15) days have elapsed, except for Procurement Contracts awarded as Emergency Selection Contracts or where the DED Commissioner waives the provisions of this section. The notification to the DED Commissioner shall include the name, address and telephone and facsimile numbers of the Foreign Business Enterprise, a brief description of the goods or services to be obtained pursuant to the proposed Procurement Contract, the amount of the proposed Procurement Contract, the term of the proposed Procurement Contract, and the name of the individual at the Foreign Business Enterprise or acting on behalf of the same who is principally responsible for the proposed Procurement Contract. *(The purpose of such notification is solely (i) to allow the DED Commissioner to use the information to provide notification to NYSBEs of opportunities to participate as subcontractors and suppliers on such Procurement Contracts, (ii) to promote and encourage the location and development of new business in the State, (iii) to assist NYSBEs in obtaining offset credits from foreign countries; and (iv) to otherwise investigate, study and undertake means of promoting and encouraging the prosperous development and protection of the legitimate interest and welfare of NYSBEs, industry and commerce.)*

- iv. Contracts with Discriminatory Jurisdiction Business Enterprises. The Corporation shall not, except as hereinafter provided, solicit bids from, or enter into a Procurement Contract with, a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York businesses, as contained on the list prepared by the Commissioner pursuant to §165(6)(b) of the State Finance Law. The Corporation may waive this section only when the CEO or the President of the Office responsible for the Procurement determines in writing that it is in the best interest of the State to do so.

- v. Vendors Failing to Comply with Lobbying Law Directives. The Corporation shall not enter into Contracts with Contractors or Vendors when:
 - (1) proposed Vendor or Contractor has failed to timely disclose accurate and complete information or otherwise cooperate with the Corporation in administering the Lobbying Law Directives; or

- (2) there has been a finding that an Offeror has knowingly and willfully violated the provisions set forth in Article VII. of these Guidelines and the Corporation’s Lobbying Policy. This finding shall also result in a determination of non-responsibility against the Offeror. *(Violations of the Lobbying Law are expected to typically involve Contacts made to persons at the Corporation other than the Designated Contact Officer(s)).*

The Corporation shall not enter into Contracts in the case of either (1) or (2) of this subparagraph (v), section (b) of this Article, unless the Corporation determines that the award of the Procurement Contract:

- (a) is necessary to protect public property or public health or safety, and
(b) that the Contractor or Vendor is the only source capable of supplying the required goods or services within the necessary time frame.

In order for the Corporation determinations in (1) and (2) (a) and (b) above to be effective as exceptions, the above required findings, including a statement describing the basis of such determination by the Corporation, must be made a part of the Procurement Record.

Any subsequent determination of non-responsibility due to violations of the requirements of the Lobbying Law, if such determination is separated by less than four years, shall result in the proposed Vendor or Contractor being rendered ineligible to submit a proposal on or be awarded any Procurement Contract for a period of four years from the date of the second final determination of non-responsibility.

- vi. Contracts with Former Corporation Officers and Employees. The Corporation shall not enter into Contracts which contemplate, violate or affirmatively, by their terms, allow former Officers (the term “Officer” as used in this subsection b.vi. of Article XIII of these Guidelines, shall refer to “Officer” as defined in the Corporation’s By-Laws) and Employees of the Corporation to violate §73 (8) (a) of the State Ethics Law. Specifically, and not by way of limitation, (except for employment contracts pursuant to which former Employees resume employee status to again work directly for the Corporation), the Corporation shall not enter into Contracts which provide for or permit a former Officer or Employee of the Corporation, either as an individual contracting directly with the Corporation or as an officer or employee of a private business entity, to appear, practice, communicate or otherwise render services before the Corporation or receive compensation for any such services rendered by such former Officer or Employee on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction:

- (1) with respect to which such Officer or Employee was directly concerned and in which he or she personally participated during the period of his or her service or employment, or which was under his or her active consideration or over which that Employee or Officer exercised decision-making power during the performance of his or her official duties at the Corporation, or
- (2) in connection with any matter before the Corporation or its business for a period of two years after termination of such service or employment.

If the CEO or the President of the Office responsible for the Procurement deems it appropriate, the preceding prohibitions may be temporarily waived provided that, prior thereto, the State Ethics Commission grants an exception in accordance with the requirements of New York Public Officers Law Section 73[8][b]. Notwithstanding the foregoing, the preceding prohibitions shall not apply when a former Officer or Employee carries out official duties as an elected official or employee of a federal, state, or local government, or any agency of such government. Thus, a former Employee may appear, practice, communicate or render compensated services before the Corporation if he or she is acting as an elected official or employee of a federal, state, or local government or one of its agencies. This exception applies only to government officials and employees; it does not apply to paid consultants of government entities.

In addition, in determining whether or not to enter into Contracts with respect to which any former Officer or Employee of the Corporation plays a role, and with respect to the ethical administration thereof, the Corporation shall give due consideration to whether the execution or administration of the Contract raises an appearance of impropriety.

The Corporation shall, as it deems appropriate, include provisions in its Contracts to affect the purposes of this section.

ARTICLE IX

9. GENERAL CONTRACT PROVISIONS AND CONTINUING EVALUATION OF PROCUREMENT CONTRACTS IN EFFECT FOR LIMITED TERMS.

- a. General Contract Provisions. The Corporation shall include general Contract provisions in its Procurement Contracts, as follows:
 - i. In Writing and Duly Executed. All Procurement Contracts shall be in writing and shall, at a minimum, be duly executed by an individual empowered to do so in accordance with the Corporation's By-Laws and, as

the case may be, the provision for delegation of signing authority thereunder.

- ii. Scope and Description. Procurement Contracts shall specifically provide for a scope of services indicating the nature of the work to be performed or goods to be provided, and for the time for performance, if time is a factor, the monitoring or reviewing of that performance by personnel of the Corporation, any conditions generally applicable to Contracts with the Corporation, any applicable provisions for insurance, and, where appropriate, any permitted use of supplies, facilities or personnel of the Corporation.
- iii. Compensation and Payment Terms. Such Procurement Contracts shall also state the compensation for the goods or services, and the terms of payment including the conditions for receiving payment from the Corporation.
- iv. Non-collusion. Formal Contracts shall, whenever appropriate, include Contractor Certifications that:
 - (1) The prices in the bid(s) or proposal(s) were arrived at independently, without collusion, consultation, communication, or agreement for the purpose of restricting competition, or as to any matter relating to such prices with any other Contractor or with any competitor;
 - (2) Unless otherwise required by law, the prices which have been quoted in the bid(s) or proposal(s) were not knowingly disclosed by a Contractor prior to the opening of bid submissions, directly or indirectly, to any other Contractor or to any competitor; and
 - (3) No attempt was made or will be made by the Contractor to induce any other person, partnership, or corporation to submit or not submit bid(s) or proposal(s) for the purpose of restricting competition.
- v. False or Inaccurate Lobbying Law Directives Certifications. Every Governmental Procurement with an estimated annual expenditure over \$15,000 shall contain:
 - (1) certifications that the representations required by the Lobbying Law Directives, if applicable, are complete, true, and accurate; and
 - (2) a provision authorizing the Corporation to immediately terminate such Contract in the event that any certification in accordance with the provisions of the Lobbying Law Directives is found to be intentionally false or intentionally inaccurate or incomplete.

- vi. Prohibitions and violations in Contracts. In accordance with § 316-a of Article 15-A, Contracts shall include a provision expressly providing that any Contractor who willfully and intentionally fails to comply with the minority and women-owned participation requirements, as set forth in such Contract shall be liable to the Corporation for liquidated or other appropriate damages and shall provide for the appropriate remedies on account of such breach. If the Corporation elects to proceed against a Contractor for breach of Contract, the Corporation shall be precluded from seeking enforcement pursuant to §316 of Article 15-A, provided however, that the Corporation shall include a summary of all enforcement actions undertaken in its Annual MWBE Goal Plan, in accordance with subdivision three of §315 of Article 15-A and Article XII of these Guidelines.
 - vii. Required language in contracts supported by federal funds. In all contracts supported by, or paid with, federal funds, all terms required by any applicable federal statute, regulation, federal register notice, or policy shall be specifically set forth or incorporated by reference to such statute, regulation, federal register notice or policy.
- b. Continuing Evaluation of Procurement Contracts in Effect for Limited Terms.
- i. Limitation of Contract Terms. In order that the Corporation may enter into new Procurement Contracts for the Procurement covered as soon as might be desirable, Procurement Contracts should not commit the Corporation to continue to use Contractors for longer than is desirable to achieve the Contract objectives, such as obtaining the Contractor's commitment to perform services at a reasonable price. Unless specifically permitted by a resolution of the Corporation's Members, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Corporation, at its option, without cause, within a period that is less than a year into the future.
 - ii. Continuing Evaluation of Procurement Contracts and Panels. Every Procurement Contract under which services are currently being performed, or goods or materials provided, shall be continually evaluated by a designated Officer, Employee or Staff. Such Officer, Employee or Staff shall review and approve all bills to be paid and continually evaluate the Contractor's performance. Such Officer, Employee or Staff shall continually give consideration to whether the further use of the Contractor's services and continuation of the Procurement Contract is desirable. Such consideration shall extend to making a determination, at least annually, of when it would be most appropriate and effective to award the Procurement Contract again through a new competitive selection process such as a new Request for Proposals. A determination not to enter into a new competitive award

process immediately can be supported, in part, by verification that services are still being provided at competitive rates, but such verification shall not be determinative of whether a new competitive process should commence. Part of the required annual review and recertification to the Corporation's Procurement Contract Officer of Corporation panels shall be a consideration of whether it would be appropriate and effective to renew the competitive selection process for Procurement Contracts with firms on the panels, including, but not limited to, doing so through the issuance of a new Request for Qualifications to reestablish the panel. Any determination not to enter into a new competitive award process, as a result of which a Contract would exceed a projected five years without a new competitive award process being conducted, shall require the affirmative concurrence of the Corporation's Members included in a resolution adopted by the Corporation's Members, as required by Article X of these Guidelines. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Agency or Authority Contracts or existing GSA Contracts.

ARTICLE X

10. REQUIRED CORPORATION APPROVALS

- a. Members' Approval. All Contracts where compensation is expected to be in an amount of \$100,000 or more, as well as any Contracts involving services to be provided in excess of one year, shall require initial approval of the Corporation's Members, unless they specifically delegate such approval authority by resolution to an agent of the Corporation. Unless specifically permitted by a resolution of the Corporation's Members, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Corporation, at its option, without cause, within a period that is less than a year into the future. An Officer may submit other Contracts as he or she deems appropriate to the Corporation's Members for their consideration and approval.
- b. Members' Annual Review. The Corporation's Members shall, at least annually, review any Contract lasting more than a year, each June, as part of the approval of the Annual Report on Procurement Contracts. Contracts considered as lasting for more than a year for this purpose shall include Contracts where the Contract itself, by virtue of its stated terms, has a period of longer than a year, and in addition, shall include Contracts where, by virtue of renewal or execution of new or subsequent Contracts without an intervening Contractor or Vendor Selection Process, the Corporation's contractual relationship with the Vendor or Contractor continues for more than a year. Annual approval or review by the Corporation's Members shall be as follows:
 - i. Provided that timely annual review for each Contract is affected, firms on Corporation panels can be brought for annual review:

- (1) collectively, or in such combinations as are deemed appropriate, on a single annual review anniversary, or
 - (2) individually, based on the dates that Procurement Contracts first required the Corporation's Members' approval.
- ii. Any determination not to enter into a new competitive award process, pursuant to which a Contract would exceed a projected five years without a new competitive award process, shall require the affirmative concurrence of the Corporation's Members included in a resolution adopted by the Corporation's Members. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Agency or Authority Contracts, or existing GSA Contracts. In any case, any Contract in excess of a \$100,000 in amount or more than one year in duration must be initially approved by the Corporation's Members, unless they specifically delegate such approval authority by resolution to an agent of the Corporation, and annually reviewed by the Corporation's Members.
- c. Execution of Procurement Contracts. All Procurement Contracts shall be executed by an Officer, or as provided in the Corporation's By-Laws or an applicable resolution.
- d. Approval of Procurement Contracts by Counsel. Prior to the execution of any Contract, Counsel shall approve, as to legal compliance, all Procurement Contracts. The consideration shall include the legal form and efficacy of the Procurement Contract. The Corporation's legal department may evidence such approval by Counsel by making such arrangements as are acceptable to the Counsel to assure that the form of Contract is legally acceptable and approved by the Corporation's Counsel.
- e. Approval of Procurement Contracts for Fiscal Sufficiency. All Procurement Contracts shall be reviewed by the Treasurer or Assistant Treasurer of the Corporation for fiscal sufficiency prior to execution.
- f. Contract Amendments and Adjustments. An increase in funding which amount is less than 10% of the total original Contract amount, where there is no change to the scope of work, shall be approved by the appropriate assigned Senior Officer of the Corporation, as set forth in Article V of the Corporation's Bylaws, with the specified deliverables and supporting documentation, as applicable and shall not be subject to approval by the Corporation's Members.

An increase in funding which amount is 10% or more of the total original Contract amount must receive approval by the Corporation's Members, regardless of whether a change to the scope of services is proposed. If, however, an increase in the Contract award is a Critical Contract amendment, then the appropriate senior Officer of the Corporation and the Corporation's Counsel, or designee, may approve the amendment

without prior approval by the Corporation's Members. If the exception is granted, then the information regarding the Critical Contract amendment shall be provided to the Corporation's Board at its next scheduled meeting.

Any Contract amendment, regardless of whether there will be a change to the Contract amount, which results in a change in the scope of work to be undertaken pursuant to the Contract and/or where the term of the Contract will be extended, shall be presented to the appropriate senior Officer and Counsel for review and is subject to approval by the Corporation's Members.

ARTICLE XI

11. ADMINISTRATION OF PROCUREMENT, RECORDS AND RESPONSIBILITIES OF CORPORATION OFFICERS AND EMPLOYEES

- a. Procurement Record. A Procurement Record shall be maintained for each Procurement Contract and such other Procurement as the Procurement Contract Officer deems appropriate, or as State law requires, identifying, with supporting documentation, decisions made by the Corporation during the Procurement process. The Procurement Record shall include, but not be limited to, documentation of: (1) the determination of the method of Procurement from among the available methods permissible under these Guidelines; (2) the process to be used to determine best value, the manner in which the selection of evaluation criteria and the evaluation process shall be conducted, and the evaluation criteria, which, whenever possible, shall be quantifiable; and (3) the basis of award and circumstances leading to the selection of the Vendor, including the alternatives considered, the rationale for selecting the specific Vendor and the basis upon which cost was determined reasonable. To the extent practicable, the Corporation shall document all aspects of the solicitation process in advance of the initial receipt of offers. Each amendment to an existing Contract, and the justification for each, shall also be included in the Procurement Record. Determinations of emergency with respect to Emergency Selection Contracts and Emergency Foreign Business Enterprise Contracts shall be included in the Procurement Record, as well as the determination to enter into a Sole Source or Single Source Contract.

Annual certifications of panels should be made a part of the Procurement Record.

With respect to the Lobbying Law Directives, the Procurement Record shall include complete information related to: (i) written certifications by the Contractors or Vendors with respect to affirmations that the Contractor or Vendor understands the Lobbying Law Directives and that the Corporation has been informed in writing of the Vendor's prior determinations of non-responsibility over the previous four years, and that this information is complete, true and accurate; (ii) Determinations of Responsibility by the Corporation; (iii) findings of non-responsibility, whether by the Corporation or by other governmental entities; (iv) a record of all Contacts

during the Restricted Period, including the name of the person making the Contact, as well as that person's organization, address, telephone number, place of principal employment, occupation, and whether the person/organization making the Contact was the Offeror or was retained, employed or designated by or on behalf of the Offeror to appear before or communicate with the Corporation; (v) if applicable, a statement regarding the basis for any required finding that the Corporation may enter into a Contract with a Contractor or Vendor who has previously been the subject of any determinations of non-responsibility; and (vi) any determination to terminate a Contract pursuant to the Lobbying Law Directives .

The Procurement Record is a place where the Corporation can clearly document, as considered appropriate, the need for the Contract; required specifications; and the ways in which a competitive field, fair and equal opportunity for Vendors, which shall include, but not be limited to, certified MWBEs, and a fair and balanced method of selection have been ensured.

The Procurement Record shall be maintained at least throughout the period the Contract and any extensions thereof are in effect and for a reasonable period of time thereafter pursuant to the Corporation's records retention policies and any federal requirements, as applicable.

- b. Procurement Contract Officer. The Corporation hereby designates the Procurement Officer for New York State Homes and Community Renewal, or in the event this position is vacant, any officer, employee, staff, or agent of the Corporation as designated by the President of the Office of Professional Services, as its Procurement Contract Officer.

The Procurement Contract Officer's responsibilities shall include keeping such portions of the Procurement Record as the Procurement Contract Officer deems appropriate, monitoring compliance with proper contracting procedures and adherence to these Guidelines.

Among the Procurement Contract Officer's responsibilities shall be the determination of when certain portions of these Guidelines shall apply to a Contract by virtue of Contract expenditures, in the aggregate, or sequential periods of time, reaching applicable thresholds stated herein. In addition, for Contracts of less than \$500 per year, which are terminable at any time by the Corporation with less than ninety (90) days notice, the Procurement Contract Officer may determine that such Contracts shall be considered Contracts not exceeding one year for purposes of these Guidelines.

The Procurement Contract Officer may provide guidance and counsel about proper administration of the Procurement process and Contracts but shall not be a principal directly responsible for administering any Corporation Contract. The Procurement Contract Officer should be available for counsel and guidance respecting the Procurement selection process but should not be directly involved as an actual selector of Vendors.

The Procurement Contract Officer shall encourage and promote good Procurement practices, including but not limited to, proper and coordinated management of Contracts, desirable Vendor selection practices, and informed and careful bill approval procedures. Among other things, it is generally desirable that there be a single individual designated to manage each Procurement Contract, including renewals and amendments thereto, reporting thereon, and bill approvals, (*and excluding receipt of Designated Contacts*), and that individuals managing different Contracts in the same area or from the same Vendors coordinate their work.

The Procurement Contract Officer shall, from time to time, issue such reports on Procurement as shall be appropriate or required, including the Annual Procurement Report required under these Guidelines.

The Procurement Contract Officer shall notify the Office of General Services of all Contractors who, with respect to the Lobbying Law, have been the subject of determinations of non-responsibility by the Corporation or who have been debarred.

The Procurement Contract Officer should periodically review and assess the adequacy of these Guidelines and, as appropriate, recommend changes for approval.

The Procurement Contract Officer may grant temporary technical exceptions to these Guidelines for Contracts, other than Formal Contracts, provided that such exceptions appear in the Procurement Contract Record, and that attorneys under the supervision of an Officer and the Counsel determine the exceptions legally appropriate.

- c. Designated Contact Officer(s). The Corporation hereby designates the Treasurer, or in the event the position of Treasurer is vacant, the Assistant Treasurer of the Corporation, as the Designated Contact Officer for all Governmental Procurement for which such appointment is required. When necessary and appropriate, the Designated Contract Officer may designate one or more Officers, Employees, Staff or Agents of the Corporation to be an additional Designated Contact Officer. In accordance with the provisions of the Lobbying Law Directives, the Designated Contact Officer, for any given Governmental Procurement or Procurement Contract, is intended to be, by virtue of his or her designation as such, the recipient of any Designated Contacts with respect to the Governmental Procurement for which he or she has been designated. The Designated Contact Officer shall have ready access to, and shall refer to, as appropriate, the Contractors' and Vendors' written affirmations of their understanding of the Corporation's Governmental Procurement lobbying procedures along with all disclosures Contractors or Vendors have provided of any findings of any determinations of non-responsibility against them under the Lobbying Law. Prior to the awarding of a Procurement Contract by the Corporation to which these provisions apply, it shall be the

Designated Contact Officer's responsibility to consult with the Ethics Officer and to likewise consult at any appropriate time thereafter.

- d. Designated MWBE Officer(s). The Corporation shall appoint a Designated MWBE Officer(s) to oversee the Corporation's MWBE Program established to promote and assist: (i) participation by certified MWBEs in Corporation Procurement opportunities and facilitation of the award of Procurement Contracts to such enterprises; (ii) the utilization of certified MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Corporation; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified MWBEs and other entities having Procurement Contracts with the Corporation. The Designated MWBE Officer(s) shall be familiar with the Procurement of the types of construction, financial, legal, or professional services utilized by the Corporation, report directly to the President of the Office of Professional Services, either directly or through the designee(s) of such President, and participate in the Procurement process. The Procurement Contract Officer and the Designated Contact Officer shall consult with the Designated MBWE Officer on each Procurement subject to the Corporation's MWBE Program. The Designated MWBE Officer shall consult, as necessary, with the Corporation's Counsel or Deputy Counsel on each Procurement subject to the Corporation's MWBE Program.
- e. Ethical Administration of Contracts, Compliance with the Lobbying Law Directives: Responsibility of Officers and Employees. It shall be the responsibility of the Procurement Contract Officer, the Ethics Officer, the Designated Contact Officer(s), the MWBE Officer(s), and all Officers, Employees and Staff to ensure that Contracts of the Corporation are administered ethically with due regard for all State ethics laws and Lobbying Law Directives. Determinations respecting ethical contract administration shall be made by the Ethics Officer, to whom any allegations of impropriety or unethical administration may be reported. The Ethics Officer shall also be responsible for reviewing, investigating, monitoring, and imposing sanctions relating to any noncompliance with Lobbying Law Directives. The Procurement Contract Officer shall report to the Ethics Officer such allegations of impropriety or unethical administration of Procurement, or violations of the Lobbying Law Directives, as may come to the Procurement Contract Officer's attention. Corporation Officers, Employees and Staff including, but not limited to, the Designated Contact Officer(s), shall report to the Ethics Officer any allegations of impropriety or unethical administration of Procurement or violations of the Lobbying Law Directives that come to their attention. If the Ethics Officer determines that sufficient cause exists to believe that an allegation concerning a violation of the Lobbying Law Directives is true, the Ethics Officer shall give the respective Contractor or Vendor reasonable notice (i) that an investigation is ongoing and (ii) an opportunity to be heard in response to the allegation.

Prior to the awarding of a Procurement Contract by the Corporation to which the provisions of the Lobbying Law Directives apply, and any time thereafter, it shall

be the Ethics Officer's responsibility to consult with the Designated Contact Officer(s) and make other appropriate inquiries so as to make the findings as to whether there were any certifications in relation to the provisions of the Lobbying Law Directives that were intentionally false or intentionally inaccurate or incomplete so that the Corporation would have the right to terminate such Contract. If the Corporation terminates a Procurement Contract under these termination provisions, it shall be the Designated Contact Officer's responsibility to provide the statement describing the basis for such action for inclusion in the Procurement Record.

In order to comply with the Lobbying Law Directives, all Staff must cooperate and participate in the recording of Contacts with respect to which the Lobbying Law Directives apply. The record of a Contact shall include the name, address, telephone number, place of principal employment, and occupation of the person or organization. Staff must also inquire about, and record, whether the person or organization making the Contact was the Offeror, or was retained by the Offeror to contact the Corporation about the Procurement. Staff must report all recorded Contacts to the Procurement Contract Officer for inclusion in the Procurement Record of the Procurement Contract.

If the Ethics Officer finds a knowing and willful violation of the Lobbying Law Directives by any Staff, the Ethics Officer shall report the violation to the President of the Office of Professional Services.

It is expected that the Ethics Officer will confer, as appropriate, with the Corporation's Counsel with respect to allegations of unethical conduct or violations of the Lobbying Law Directives or other violations of law and nothing in any of the foregoing is to be taken to preclude individuals from also contacting the Corporation's Counsel directly with respect to any such allegations.

ARTICLE XII

12. REPORTS ON PROCUREMENT

- a. Annual Procurement Report ("Annual Report"). Within 90 days after the conclusion of the Corporation's fiscal year, the Members of the Corporation shall approve an Annual Report summarizing Procurement activity for the period of the Annual Report. Such Annual Report will include these Guidelines, an explanation of these Guidelines and any amendments thereto since the last Annual Report. The Annual Report describing Procurement activity shall include: (a) a listing of all Procurement Contracts entered into; (b) all Contracts entered into with NYSBEs and the subject matter and value thereof; (c) all Procurement Contracts entered into with certified MWBEs and the subject matter and value thereof, all referrals made and all penalties imposed, pursuant to §316 of Article 15-A; (d) all Contracts entered into with Foreign Business Enterprises and the subject matter and value thereof; (e) the selection process used to select such Contractors; (e) all

Procurement Contracts which were exempt from the publication requirements of Article 4-C of the Economic Development Law, the basis for any such exemption; and (f) the status of existing Procurement Contracts.

Such Annual Report shall list for each Contract the following information:

- i. a description of the duties performed by the Contractor;
- ii. the date of the Contract and its duration;
- iii. the total value of the Contract;
- iv. the full name and address of the Contractor;
- v. the status of the Contract, including the amount spent or other considerations given pursuant to the Contract during the reporting period and for the life of the Contract to date;
- vi. whether the Contractor is a certified Minority or Women-Owned Business Enterprise; and
- vii. the total number of bids or proposals received prior to the award of the Contract.

The Annual Procurement Report, after being approved by the Corporation's Members, shall be filed to the Division of the Budget and the Department of Audit and Control using the Public Authorities Reporting Information System ("PARIS") on-line Reporting System, with copies of this report to the Department of Economic Development, the Senate Finance Committee and the Assembly Ways and Means Committee.

Copies of the Annual Procurement Report shall also be available to the public upon reasonable request at the Corporation's main office, and be available on the Corporation's website.

- b. Annual MWBE Goal Plan ("MWBE Goal Plan"). The Corporation shall report, annually, to the Governor, Legislature and the MWBE Director, on various issues pertaining to Procurements relating to MWBE, in accordance with Article VI of these Guidelines and Article 15-A, including but not limited to:
 - i. the annual goals, identified in the Corporation's Annual MWBE Goal Plan, for Contracts with MWBEs;
 - ii. providing adequate documentation of a good faith effort to meet the Corporation goals described in the Corporation's Annual MWBE Goal Plan, in the event that the Corporation projected goals cannot be achieved;

- iii. the number of actual Contracts issued to MWBEs;
- iv. the activities undertaken to promote and encourage Procurement opportunities of Minority Group Members and women and promote and increase participation by certified businesses with respect to Corporation Contracts and subcontracts;
- v. Corporation Contracts for leases of real property by the Corporation to a Lessee where (a) the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee, and (ii) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon exceeds the sum of \$100,000;
- vi. a summary of all enforcement actions undertaken by the Corporation against a Contractor for breach of Contract pursuant to §316-a of Article 15-A and Article IX. of these Guidelines; and
- vii. a summary of all waivers, defined in Article VI of these Guidelines, permitted by the Corporation during the period covered by the MWBE Report, including:
 - (1) a description of the basis of the waiver request; and
 - (2) the rationale for granting any such waiver.

ARTICLE XIII

13. MISCELLANEOUS PROVISIONS

- a. Powers of Amendment. Any modification or amendment of these Guidelines may be made by a Supplemental Resolution adopted at any duly constituted Members' meeting; provided, however, that no such modification or amendment shall abrogate the rights and duties of existing Corporation Contracts, the terms of which were established pursuant to these Guidelines; and further provided that the Procurement Contract Officer, or his or her designee, may make non-material changes in these Guidelines. Any such changes shall be reported at the next regularly scheduled meeting of the Members of the Corporation.
- b. Supplementation with Procedural Handbooks, Practice Manuals and Other Directives. These Guidelines are only intended to provide the general framework for Corporation Procurement practices. These Guidelines are not intended to preclude supplementation of the Guidelines through the promulgation of more specific procedural handbooks, practice manuals, or other directives and guidance as may be issued from time to time, including as example, and not by way of

limitation, more specific procedures for conduct of Requests For Proposals and Requests For Qualifications. It is also not intended that the existence of these Guidelines should prevent or supplant the issuance of additional Corporation guidelines or regulations to deal specifically with Lobbying Law Directives and/or MWBE Directives, if appropriate.

- c. No Recourse under these Guidelines. No provision of these Guidelines shall be the basis for any claim based upon these Guidelines against any Member, Officer, Employee or Staff of the Corporation, or any agent of the Corporation when acting pursuant to these Guidelines or pursuant to an authorization to execute Contracts on behalf of the Corporation, or the Corporation itself.
- d. Effect upon Existing Contracts of the Corporation. These Guidelines shall not abrogate the rights and duties of Corporation Contracts with third parties executed prior to the effective date of these Guidelines.
- e. Provisions Required by Law. These Guidelines are hereby deemed to include any provision required by law to be included herein.

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SELECTING A PROCUREMENT PROCESS

